WASHINGTON STATE LEGISLATIVE TRANSPORTATION COMMITTEE

Transportation Performance Audit Board

REVIEW OF PERFORMANCE AND OUTCOME MEASURES OF THE

WASHINGTON STATE PATROL

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Washington State Transportation Performance Audit Board
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I. EXECUTIVE SUMMARY

A. INTRODUCTION

This report is a review of the Washington State Patrol's (WSP) use of performance and outcome measures conducted for the Transportation Performance Audit Board (TPAB) of the Washington State Legislative Transportation Committee (LTC).

This review was conducted by René Ewing & Associates from September through December 2004. The scope of the review was based on the TPAB enabling legislation as outlined in RCW 44.75.070.

This project was designed to provide the Transportation Performance Audit Board with a review and evaluation of the Washington State Patrol's performance and outcome measures, answering nine specific questions outlined in I. D of this report. Based on the review findings it is also intended to provide the Washington State Legislature the information necessary to determine if a follow-up performance audit of the Washington State Patrol should be recommended.

B. APPROACH

The following approach was taken to focus on delivering information based on the nine questions and drawing conclusions about a final recommendation on further performance audits.

Fundamental to the success of the project was the establishment of a clear definition of performance measurement. Appendix A contains the definition utilized in this review for comparison and evaluation of the performance measures used by WSP. To provide a fact based recommendation, research was conducted into current legislation, policy, and agency documentation. Additional information was gathered through interview processes described below. A complete listing of all the materials and references is provided in Appendix K.

C. METHODOLOGY

- Clarification of expectations.

  A key element in our methodology is to understand the client's expectations for the project, and the requirements for success. We met with LTC staff to clarify these elements and identify prospective sources of information, documentation, and individuals with expert knowledge of these areas to work with the consultants.

- Data Gathering.
  - A significant amount of documentation was collected, reviewed, analyzed, and discussed. This provided a solid base of WSP-specific knowledge before the consultants began interviews of WSP's managers and staff. An example of the consolidation of data is represented in Appendix G.
  - Interviews with 35 individuals from the Washington State Patrol, other state agencies, and Legislative Transportation Committee staff and other

state law enforcement agencies were conducted to identify how performance measures were being utilized. Appendix C contains a listing of the interviewees and a sample of the questions asked.

- The consultant team observed a number of WSP Strategic Advancement Forums (SAF) conducted each Friday morning, which address the performance of the bureaus against the agency's strategic plan initiatives.

- Benchmarking.
  - The consultants identified five states (Arizona, Missouri, Ohio, Virginia, and Texas) as candidates for benchmarking with the Washington State Patrol based on their reputation as states with performance management systems and suggestions from the WSP Executive Team. We contacted equivalent state law enforcement agencies in each of the five states and collected their strategic plans, performance measurement reports, and guidelines. Interviews were then conducted with their spokespersons. In addition, internet searches were conducted seeking other states that might have strong performance management systems in place. See Appendix H for a complete report of the findings of this benchmarking study.
- Analysis and Evaluation.
  - We evaluated WSP's overall Strategic Plan and Performance Measures. We also assessed each Bureau's performance measurement process, and how the measures were actually used in their operational management.
  - We examined the information technology databases and processes to determine how well their system structure supports WSP's performance measurement needs.
  - We then compiled, evaluated, and integrated the information gained from research, interviewing, and benchmarking candidates.

- Performance Measures – Types and Criteria

  There are basically two ways to evaluate performance measures:

  - The "type" of measurement. Using the following definitions, measures are categorized into *Activity* (work oriented, e.g., activities inside a process), *Output* (deliverable oriented, e.g., getting maximum output for inputs) and *Outcome* (goal oriented, e.g., impact of the service)
  - The "criteria" for quality measures includes: *attributable, well-defined, timely, reliable, comparable, and verifiable aspects*.

  A more complete description and definition of performance measures and criteria for good measures can be found in Appendix A.

D. REVIEW QUESTIONS AND ANSWERS

The following are the nine review questions addressed in this study.

1. *Has the Legislature established clear mandates, strategic plans, mission statements, and goals and objectives?*

   Answer: Yes and No.

   a) **YES**.
   The legislature establishes clear mandates for WSP programs both directly and indirectly. The Legislature communicates its mandates to WSP *directly* through the budget process.

   (a) When they increase funding for a program they indicate approval and support.
   (b) When they decrease or eliminate funding they communicate that they do not support a program.
   (c) When they write legislative provisos or fiscal notes in the budget, they communicate specific messages and instructions.

   The Legislature communicates *indirectly* through conversations of individual legislators with WSP executive managers, comments Legislators make at hearings and/or district meetings, and statements or directions given at committee and budget hearings, etc. They also communicate *indirectly* through questions that legislative staff address to WSP staff on behalf of legislators.

   b) **NO**.
   The Legislature does not communicate with WSP about its strategic plans, mission statements, and goals and objectives.

   The Governor's office through the Office of Financial Management (OFM) issues detailed instructions to all Executive Cabinet agencies on writing their strategic plans, mission statements, goals, objectives, and performance measures for their biennial budgets and their balanced scorecards. (See Office of Financial Management, *2005-07 Operating Budget Instructions, Part I; Guidelines For Strategic Plans And Performance Measures)*

   Many individuals interviewed, both inside and outside of the WSP, described the Legislature and its individual members as sometimes sending conflicting or confusing messages from the overall strategic level, and issuing specific directives at the operational level. This occasionally leads to what is perceived as confusing direction that requires WSP to take additional steps to determine what, if any, actions are required. In the past, there have been incidents where some unfunded mandates have come from the legislature, making compliance difficult.

2. *Are WSP's performance and outcome measures for the programs consistent with legislative mandates, strategic plans, mission statements, and goals and objectives?*

   Answer: YES.

   The WSP's performance and outcome measures are consistent with its legislative mandates, strategic plans, mission statement, goals, and objectives.

   Legislative mandates affecting WSP are included in three separate budget documents: omnibus budget, capital budget, and transportation budget. As soon as the Governor signs the final budgets, WSP begins to take action toward addressing any Legislative mandates.

   The agency generates "The WSP Budget Implementation Report." This document incorporates all of the changes extracted from the three budget documents for the Executive Management Team (ET) to review and take appropriate action. By using this budget report, WSP leadership ensures that decisions on budget and personnel changes are consistent with the legislative mandates contained in the budgets. Progress toward implementing budget changes is tracked and reported semi-annually. Copies of the progress reports are sent to OFM, legislative staff, and WSP managers.

   The strategic planning process utilized by WSP executives begins with the mission of the agency and establishes goals and objectives to guide the organization in achieving that mission. (See Appendix D and E for agency scorecard and performance agreement based on the agency mission.)

3. *Are the programs' current reporting requirements contributing to the efficiency of WSP and are they cost effective?*

   Answer: **YES**.

   The timeliness of the reporting requirements and the associated data allow WSP to make resource deployment and strategy modification decisions to both ensure better performance and continually increase the agency's efficiency. Many of the measures being used monitor costs and allow them to more effectively manage their resources. For example, fuel costs of the fleet are closely monitored with the price of gasoline increasing; WSP is purchasing more fuel-efficient vehicles for use by Supervisors and Managers. In the Districts day to day decisions are made to help save fuel costs by using motorcycles for some patrols instead of Crown Victoria sedans. (See Appendix J page 5 -6 for examples of data analysis used to monitor fuel costs within WSP.)

   Because much data is still being collected manually, the cost effectiveness of the reporting requirements in terms of dollars and cents is uncertain. There is no question, however, of the value added to the management decision-making process provided by the current performance data and the resulting efficiencies by having that data available in a timely manner.

4. *Are the programs' reports being utilized by their targeted user groups?*

   Answer: **YES**.

   Primary external users of WSP data are the Federal Bureau of Investigation, the National Highway Traffic Safety Administration, the Washington State Department of Transportation, the Washington Traffic Safety Commission, and other law enforcement agencies. However, for the most part their use appears to be limited to raw data, not actual program reports.

   The Washington State Traffic Safety Commission (WSTSC) is a primary user of WSP data regarding truck and traffic collisions. This data comes from a variety of sources, but primarily three: TARs (Time and Activity Reports), truck collisions, and traffic collision databases at the Washington State Department of Transportation. Most of the data they use comes from the TARs system. Currently, the WSTSC is using the data in two separate studies seatbelt usage and commercial vehicle safety. They are heavily dependent on the reliability of the data, and trust that it is valid. However, they currently have no way of validating the data in this regard.

   The Washington State Department of Transportation (WSDOT) Traffic Safety Office currently administers the state's collision data system. However, the data is input by Washington State Patrol staff housed at WSDOT. The data is input into WSDOT's system; however, reports which are generated from the system are done so by WSDOT staff. Again, they are heavily dependent on the reliability and validity of the data, yet currently have no viable way of validating its accuracy.

   Internally, the Strategic Advancement Forum (SAF) reports are being used by management at all levels of the agency to deploy resources and focus efforts on current problem areas. These reports are modified over time to ensure a focus on issues of current importance and continually improve the performance of the agency overall.

5. *How are the programs using performance and outcome measures to manage resources in an efficient and effective manner?*

   Answer:

   The performance measurement process within WSP begins with the development of the Strategic Plan. The implementation of this plan includes the preparation of operational plans for each of the Bureaus. Alignment of the strategic and operational plans focuses accountabilities for action plans, measures, and targets down to the program level.

   The Strategic Advancement Forum (SAF) process makes these plans come alive. These meetings require regular reporting of data for performance measures, reporting status of projects and discussion of issues. Often in these meetings issues are resolved and accountabilities/action plans are agreed upon. See the Agency Strategic Performance Management System, Section I.E., of this report for a more detailed description of this process.

All of the WSP Bureaus have cascaded this process into their bureau operations where they develop action plans, measurements, and targets down to their front line operational units. The data used for their SAF performance measurement review is the data used to make process, people, structure, and budget decisions. There is a strong linkage between unit operational decisions and the related objectives identified in the agency strategic plan.

6. *Has WSP established clear performance benchmarks and/or standards for assessing overall performance of the programs?*

Answer: **YES**

The agency, bureau, and division strategic plans include targets for performance that are evaluated on an ongoing basis. Some areas are using data to set the targets, some are not. The evolutionary process of target setting and performance measures in the agency shows a progression toward setting data based, challenging targets for the programs.

The agency is recognized as a leader in performance management in many areas. As part of this study, several other states reported that Washington State Patrol is "the benchmark" that they use for their programs. The nature of the work done by the agency allows for comparisons of data at a national level. The challenge, however, is the geographical, mission-related, and societal differences each state has when trying to directly compare data from one state to another.

Program standards are derived from a variety of internal and external sources. Internally, the agency has evolved, in some areas, to setting standards and targets using a data driven process. Externally, program standards are derived from federal requirements and national industry standards applicable to the agency's business. One such example is the accrediting standards set by the Commission on Accreditation for Law Enforcement Agencies.

The Commission on Accreditation for Law Enforcement Agencies, Inc. (CALEA) is an independent accrediting organization formed through the combined efforts of four major law enforcement organizations. The Commission was formed for two reasons: to develop a set of law enforcement standards; and to establish and administer an accreditation process through which law enforcement agencies could demonstrate voluntarily that they meet professionally-recognized criteria for excellence in management and service delivery. In December 2003, the CALEA assessment team described WSP as an agency that "exemplifies the philosophy and intent of accreditation, and is a leader in the profession." They evaluated the WSP's strategic planning and performance measurement processes as exceeding CALEA standards.

7. How is WSP's management using the performance measurement data to improve its organization, budget planning, and allocation of resources?

Answer:

All of the WSP Bureaus make operational process, people, structure and budget decisions based on their performance measurements. All the Bureaus have performance measures that are cascaded down to "line" operations where day-to-day decisions are made.

Bureau divisions regularly use performance measurement data to manage, improve, and evaluate their functions.

Examples of How Performance Measures are Used to Manage WSP Resources

Reorganization

National statistics showed that Washington state auto theft was 4th highest in the nation in 2002. Criminal Investigation Division (CID) used performance data that showed the number of thefts and where the thefts occurred. They correlated that data with the location of their 17 detectives that were spread across the state. Based on their analysis they consolidated the detective force into 3 units. They moved detectives relative to the location of the thefts. The result:

- 2001 3 arrests 17 scattered detectives
- 2002 32 arrests 17 scattered detectives
- 2003 132 arrests 14 detectives in 3 units
- 2004 YTD 186 arrests 14 detectives in 3 units
- Case cycle time from 37 days (2001) to 2 days (2004)

Eliminating the Backlog

Performance data was used by the WSP Criminal Records Division to track the entry of criminal history documents into the statewide criminal history and fingerprint identification systems. The staff determined they were 1 – 4 years behind in processing various kinds of fingerprint and court disposition records. Using their data they were able to demonstrate the impacts on criminal justice agencies and risks to public safety by not having this information entered into the systems. State funding and federal grant money was obtained to hire temporary personnel. It took 2 ½ years to eliminate the backlog and improve processes to now provide timely entry of all criminal history record documents.

Process Change

Data from the Information Technology Help Desk performance measures showed that the response time on user calls and user complaints was increasing. After analyzing the data and reviewing it with the IT team, they changed the process and restructured the work into tiers.

- Tier 1 focused on initial call response and minor issue handling. This was assigned to the individual who took the call from the user.
- Tier 2 focused on more in-depth and detailed response. The issue was transferred from Tier 1 to Tier 2 for the more involved work

request.
- In addition the data center staff was trained to handle Tier 1 calls when the regular Tier 1 staff was off duty.

The resolution time for user issues decreased as did user complaints.

People Skills/Development

Using data from the LIMS (Laboratory Information Management System) database, lab managers were able to identify staff that did not perform at the same level as others doing similar work. Individual development plans were prepared that included on-the-job training, education programs, and geographic movement of scientists to make better use of their skills.

Budget/Cost Management

Field operations, using their fuel cost performance measure, found that fuel costs were rising. A key contributor to this was the increasing cost/gallon of gasoline. An analysis team developed driving strategies that impacted the overall cost by using cars, motorcycles, and planes more efficiently.

Project Management

Budget & Fiscal Services measures noted that WSP was using Electronic Funds Transfers (EFT) only 4% of the time. OFM directed agencies to move from issuing state warrants to routinely using Electronic Fund Transfers. The issue was discussed at a regular SAF meeting and it was "SAFed." (SAFing meaning that an issue surfaced at a SAF meeting, was discussed, alternatives and approaches identified, and actions assigned – on-the-spot.) Budget & Fiscal Services measures now routinely show 98-99% EFT utilization. This measure has been moved to a "maintenance" mode and is no longer displayed on the monthly SAF agenda.

8. *What performance benchmarks have been used in other states to measure the performance of similar programs in similar agencies? How do they compare with those used by the WSP?*

Answer:

Federal funding reporting requirements force all state law enforcement agencies to report similar data concerning collisions, seat belt usage, and DUI's for example. This provides some level of comparison from state to state. As part of this study five state law enforcement agencies (Arizona, Missouri, Ohio, Texas, and Virginia) were contacted to evaluate and compare the performance measures used by each.

All of the states have some level of strategic plan and some broad agency goals. Where they differ with WSP is the extent to which WSP analyzes and uses the performance measures in making management decisions. Clearly WSP is considered by the other states as ***the benchmark*** in the use of performance measures.

The following matrix summarizes the current level of performance management in the five states studied during this review. See Appendix H for a more complete description of the benchmarking study findings.

	ARIZONA	MISSOURI	OHIO	TEXAS	VIRGINIA	WASHINGTON
Strategic Plans	Yes, started in early 1990s.	Yes, first plan developed 2003-2004; published 2004	No, only action plans	Yes, started in 1992, updated every 2 years	Yes, started in 2002	Yes, started in 1999, updated annually, cascaded through all Bureaus
Level of Performance Measures	Mostly activity level with limited outcomes	Broad and vague; usually activities not outcomes	Output and activity level measures	Broad outcomes and goals	Broad goals with specific actions	Clearly defined output and some outcome measures for strategic goals
Use of Performance Measures	Targets have been set, reviewed quarterly	Targets not set; action plans in the process of development	Not evident	Monitored for progress	Vague, part of statewide executive agreement	Performance measures have targets with trends and benchmarks, with action plans in place
Target setting	Biennium based	Not evident	Goals established	Goals established	Not evident	Targets set annually and reviewed monthly by bureau
Accountability	Quarterly reporting into statewide systems	No system in place	No system in place	Not currently used as a management tool	Annual 2 day progress review	Weekly SAF meetings to review and manage all performance

The following is current comparative performance data for WSP four core measures and other key outcomes.

Performance Measure	Performance Level by Year	National Comparisons
Seat Belt Usage	2001 = 83% 2002 = 93% 2003 = 95%	Washington ranked #1 in usage and highest in reduction in nonuse between 2001 and 2002. [1] On November 23, 2004, the National Traffic Safety Administration announced the Washington state ranked #2 behind Hawaii in seat belt usage based on their study. [2]
Aggressive Driving (contacts)	2001 = 17,168 2002 = 28,378 2003 = 43,427 *(2004 = 43,804)* [3]	Data demonstrates results of increased emphasis. No national comparison data was found.
Driving Under the Influence (DUI)	2001 = 13,708 2002 = 18,511 2003 = 22,472 *(2004 = 18,350)* [3]	Data demonstrates results of increased emphasis. No national comparison data was found.

Speed (contacts)	2001 = 378,495 2002 = 503,682 2003 = 564,242 *(2004 = 473,529)*[3]	Data demonstrates results of increased emphasis. No national comparison data was found.
Speed (arrests)	2001 = 153,327 2002 = 240,635 2003 = 261,004 *(2004 = 204,556)*[3]	Data demonstrates results of increased emphasis. No national comparison data was found.
Fatal Collisions *(for State Routes and Interstates only)*	2001 = 254 2002 = 262 2003 = 242 *(2004 = 200)*[3]	National average change in traffic fatalities from 2002 to 2003 was -1%. WA was -9% compared to neighboring states for example of OR +17%, CA +3% and ID +11%.[4] *Reduction in collisions is in direct correlation to the increase enforcement against aggressive driving, DUI, seat belt and excessive speed.*

[1] U.S. Department of Transportation, National Highway Traffic Safety Administration, "Research Note, Safety Belt Use in 2002 – Use Rates in the States and Territories", published by National Center for Statistics and Analysis, May 2003.

[2] U.S. Department of Transportation, National Highway Traffic Safety Administration, New Bulletin, "New Data Show Rising Safety Belt Use Rates in Most States" November 23, 2004.

[3] 2004 data through October YTD

[4] U.S. Department of Transportation, National Highway Traffic Safety Administration, Traffic Safety Facts 2003, Early Edition.

9. Is WSP's information technology capability adequate to provide management information necessary to monitor the program's performance benchmark data?

Answer: NO

Information Technology has an inventory of systems ranging from new (implemented within the last 2 years) to 15+ years old. This is typical of an information technology portfolio. These systems are well maintained, have been enhanced over the years and have met most customer needs.

- 30% of the strategic plan performance measures are directly supported by IT applications.
- 25% of the strategic plan performance measures are from projects. The implementation scheduled for 2005 of the Project Server/Microsoft Project system will provide tools to manage these more effectively.
- 35% of the strategic plan performance measures are supported with manual processes. The WSP staff has done an excellent job of compiling data through use of desktop tools like Excel and Access.
- This data comes from the WSP Strategic Plan Performance Measures and Data Sources in Appendix F.

The WSP Executive Team has a very progressive process for determining the priorities for all WSP projects, including information technology projects. This process ensures that efforts will be focused in the areas where it brings the most value to the agency. In general, the WSP Information Technology Division is doing the best it can with the resources it currently has.

The issue that confronts Information Technology (IT) is the continuing demand and need for better and more current data. This demand outstrips IT's capability to provide management information to meet all the current AND future customer demands.

WSP utilizes strong data-driven management practices. It is recognized as one of the best in the nation. Without improvement in data collection and data reporting processes, WSP will have difficulty retaining this leadership position. Examples:

- The Time and Activity System was designed as a monthly reporting tool. Today Field Operations need that same data to make weekly staff adjustments. Some Districts are doing workarounds to get current data for weekly decisions.
- Auto theft and recovery only have WSP data, not data from county/local incidents. Statewide data is available through the FBI but is generally a year old. The ability to understand auto theft patterns and associated drug patterns requires current statewide data.
- Data collection from the field is done on paper forms, sent to a supervisor for approval, sent to data entry, and then input into the Time and Activity System. Current data can only be attained if it is entered at the source – by the trooper in their car. This capability would require updated laptop computers in all vehicles.

The demand for better performance data creates an even greater demand to allocate funding to meet the critical information technology needs of the agency.

E. AGENCY STRATEGIC PERFORMANCE MANAGEMENT SYSTEM

WSP's management processes are sound and focused. It is through the Strategic Planning and SAF (Strategic Advancement Forum) processes that they concentrate their energies. Chief Serpas brought a real rigor to the SAF process and today Chief Porter is continuing to enhance that effort. This has proven to be a very effective management process that ensures focus is maintained on the strategic initiatives and management decisions are based on actual performance data.

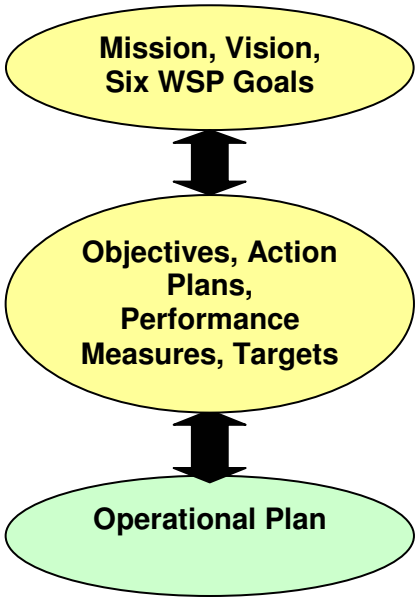
The SAF process is used to "get things done" at WSP. It is a public forum conducted every Friday morning. The various bureaus report their performance, rotating through all the bureaus once each month. It is in this forum that performance data is shared between bureaus, questions asked, assistance provided and accountability is established. This process is receiving national attention from other state's law enforcement agencies that have visited Olympia to observe the process.

The SAF process provides an opportunity for each Bureau, Division, and District to present its progress. The open discussion and questioning puts a "spotlight" on the Bureau and frequently results in an interchange where issues/problems are either solved or action plans devised to correct them on the spot. "Accountable Management" is a key component of this process.

All bureaus have incorporated the performance measures and the SAF process into their bureau operations. Performance measures are cascaded down - where units understand how the targets they have to meet are linked to the overall goals and objectives of the WSP. All Bureau divisions and districts use performance data to make day-to-day operating decisions.

The WSP Strategic Plan is the starting point for all the performance measurements. The process illustrated below is structured with:

- Mission, Vision, and Goals based on the overall priorities from the Governor and the Legislature.
- Objectives and action plans developed by the WSP Bureaus in support of the six agency Goals.
- Performance Measures and Targets that define accountabilities and measure progress.



The WSP Executive Team establishes the direction for the agency. The results provide a clear focus for the agency that all members of the Executive Team buy into and support.

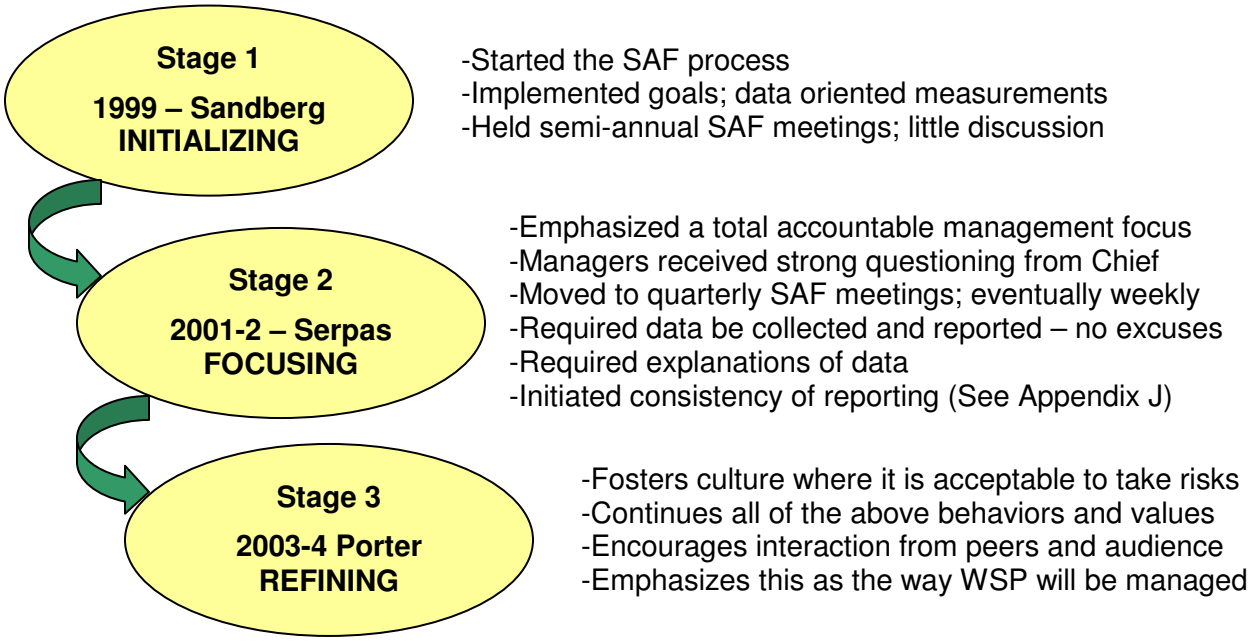
The Bureaus, in consultation with their internal managers and staff, identify action plans, targets and associated performance measures that support the agency goals.

The result is an operational plan that, through review and discussion with the Executive Team, is integrated into the overall Strategic Plan and adjusted to ensure consistency across the agency.

This process is a classic example of "catchball" – a Japanese concept of cascading downward directions and rolling upwards the operational approaches and details of delivering on those goals.

Operationalizing the Strategic Plan

The approach the WSP takes in making the strategic plan a meaningful part of the operation is through the Strategic Advancement Forum (SAF) process. This process was patterned after the COMPSTAT model that gained much publicity from its conception and use in the New York City Police Department. The following is a brief picture of WSP's evolution of this process. Each stage was built upon proceeding stages.



The following benefits result from the SAF process:

- **Process for alignment**. The process defined for the SAF has been cascaded down into every bureau. Each bureau manager has implemented a similar management process in their individual bureaus. This ensures alignment of program goals with agency goals.
- **Broad communications to all Bureaus**. This provides knowledge of issues and progress in other parts of the organization. This knowledge is a key element in coordinating and assisting other operations. Alignment and linkage is a valued attribute of a successful organization.
- **Immediate fixes**. Small problems are being remedied on the spot by Bureau leaders taking agreed upon action back to their organization. This not only improves the immediate process but it fosters cooperation, trust, and openness throughout the agency.
- **Chief's focus areas**. The WSP Chief provides leadership during the process by:
    - Emphasizing goals and reiterating the directions and areas of emphasis for the department. This strengthens the Strategic Plan and constantly reminds staff of the importance and long term value of the process.

- Highlighting processes that are critical. This clearly demonstrates the Chief's priorities as well as the priorities of the Governor and Legislature as he understands them.
- Recognizing excellence. The Chief uses this opportunity to personally recognize good work and to thank the Bureau and/or individuals for their efforts.

F. AGENCY STRENGTHS

1. *SAF Process* – This process of alignment and accountability has received national recognition from other states as an excellent performance management system.
2. *Data Analysis* – The management of WSP has clearly honed their data decision-making skills and has become a model for others.
3. *Budget Focus* –WSP has driven budget management and accountability down through the organization to division and district managers through the SAF process which allows them to make adjustments in real time to maximize their use of resources. (See Appendix I for a more complete description of the budget process.)
4. *Management Culture* – The culture at the WSP is one of openness even to hearing bad news. There is no blaming but rather there is a focus on learning, finding solutions and addressing situations as they arise.
5. *Focus on Results* – The WSP management is breaking down the organizational silos typically found in large organizations. This is demonstrated repeatedly when managers freely share resources with and provide support to their peers in an effort to make the agency as a whole more successful.
6. *Updated Measures* – Using the SAF process, the agency can determine when an issue has been resolved and is now in maintenance mode. At that point they cease spending time focusing on that area and move on to more urgent issues.
7. *Alignment* – By establishing bureau plans to support the agency strategic plan and having individual performance evaluations linked to strategic outcomes, there is alignment throughout the agency to achieve the agency's strategic outcomes.
8. *Agility* –Using data analysis to understand how activities impact the strategic outcomes allows the agency to make adjustments and course corrections to adapt to changing needs and the environment.
9. *Communications* – The agency has established goals to provide better communications and information to the citizens. Town hall meetings with legislators and WSP leaders have proven to be a very effective means of hearing the concerns of citizens and sharing the strategic focus and results of the agency.

G. AGENCY OPPORTUNITIES FOR IMPROVEMENT

1. *Automate Data Collection* – Throughout the agency there are examples of data collection being done manually. As the practice of making data driven decisions continues to evolve and mature, it will become vital that investments in technology are made to support the data collection processes.
2. *TARs Coding Issue* - The agency as a whole needs to take a proactive approach to addressing the TARs coding issues to ensure codes are defined and utilized consistently. First of all, the extent and causes of the problems should be identified and evaluated. Because of dependence on and use of the codes and the resulting data in many data decisions and programs, this issue needs to be given a high priority. See additional detail on the coding issues in Field Operations and Forensic Laboratory Bureau findings.
3. *Data Analysis Skills* – Although data analysis skills are very strong at headquarters and senior management levels, those skills are not as prevalent at the front line management level. Front line managers need to understand that data analysis is a vital part of everyone's job, not just for headquarters use.
4. *Citizen Feedback* – Citizen Surveys have been conducted six times in the past twelve years and provided valuable input to the WSP management on what is important to the citizens of our state. A new initiative - "aggressive driver reporting area" - on the web for citizens to report aggressive driving is being launched this winter. This interaction with citizens will provide WSP with another source of citizen feedback data. However, it is important to continue to make citizen input a high priority and to ensure that resources are allocated on a bi-annual basis to collect this valuable feedback for continuous improvement.
5. *Systematic Review of Measures* - Measurement processes tend to increase the number of measures and associated data collection efforts over time. The WSP should regularly review all of its performance measures to ensure that each measure accurately reflects the output/outcome it is intended to measure and continues to add value to the management decision making process.

H. RECOMMENDATIONS

The following recommendations are based on the research and findings in this report from the WSP Bureaus and comparison with other state law enforcement agencies studied.

It is recommended that:

1. A cross-functional team is established to examine the root causes and evaluate the TARs coding issues.
2. WSP investigate establishing a statewide auto theft and recovery data system to replace the current internal WSP manual process.
3. The Legislature supports the WSP technology Decision Packages for the upcoming budget. WSP has prepared four Decision Packages from Information Technology and two Decision Packages from Electronic Services. These packets include IT server support, disaster recovery, data security, data networks, radio communication, and communications facility security. These improvements will provide crucial infrastructure to meet the near term and future needs of WSP's data driven management practices. With this updated technological base, WSP should then focus on the information systems requirements to support the future performance data management needs.
4. WSP establish service level agreements between the support services (Management and Technical Services Bureaus) and operations divisions to help clarify support services deliverables and their performance measures. WSP should focus first on those support services where service level agreements will have the greatest internal impact.
5. WSP management continues to connect operational activity and output measures to the agency wide outcomes and move along the continuum to outcome measures. Currently performance measures are heavily weighted to activity and output levels.
6. The Legislature continues to hold the agency accountable for focusing on outcomes and results and for determining the best strategies to achieve them.
7. Communications to the citizens on performance of the agency continue to be a priority. In particular it is recommended that legislators continue to hold town hall meetings with the agency to gather input from citizens and share the strategic direction of the agency.

I. PERFORMANCE AUDIT RECOMMENDATION

PERFORMANCE AUDIT

The ultimate outcome of this review is to determine if TPAB should recommend a performance audit of the Washington State Patrol to the Legislature. For the purposes of this review the following definition of a performance audit was used.

> *Performance Audit: An assessment of a state agency or program to determine if it is complying with statutory intent or budget direction, Most performance audits recommend ways to improve operations, with a focus on improvement in efficiency, effectiveness, and accountability. A more detailed description of performance audit is provided in Appendix B.*

Answer: NO

Based on the findings in this study, it is not recommended that a performance audit of WSP be conducted. This study suggests that it would be a better use of limited state resources to use any performance audit funding to help subsidize much needed technology improvements to automate some of the manual processes used by WSP.

II. FINDINGS AND RECOMMENDATIONS BY BUREAU

A. FIELD OPERATIONS

The Field Operations Bureau is the largest bureau in the department with a majority of the FTEs, mostly commissioned officers, who carry out the agency's primary goal of providing a safe motoring environment across the state. They enforce traffic laws, investigate collisions, and assist the traveling public on 17,524 miles of state highways. The bureau is divided into eight districts:

District 1 – Tacoma
District 2 – Bellevue
District 3 – Yakima
District 4 – Spokane
District 5 – Vancouver
District 6 – Wenatchee
District 7 – Marysville
District 8 – Bremerton

Additionally, Districts 2, 7, and 8 provide personnel for vessel and terminal security to the Washington State Ferries as part of the state's homeland security responsibilities.

The Special Operations Division is also a part of the bureau and includes the Aviation Section and Executive Services Section. The Aviation Section provides air support for ground operations as well as transportation for the Governor, other state agency officials, Department of Correction's prisoners, and drug related surveillance activities. These flights are based out of Yakima and Olympia.

The Executive Services Section provides services at the Department of Labor and Industries, the Capitol and the Governor's mansion. It also includes the Executive Protection Unit assigned to protect the Governor, the Governor's family and the Lt. Governor. The eight districts, the Aviation Section, and vessel and terminal security operations are all funded by transportation dollars. Thus, the scope of this report of the Field Operations Bureau is limited to those areas.

Based on research and citizen input, the Field Operations has identified four core violations for focus by the bureau: 1) driving under the influence, 2) excessive speed, 3) seat belt non-compliance, and 4) aggressive driving.

OBSERVATIONS

Districts

Strengths

The Strategic Advancement Forum (SAF) process has been deployed in all eight districts statewide with varying frequency. Two districts are conducting them weekly, five are conducting them semi-monthly, and one is on a monthly schedule due to geographic constraints. The data is rolled up from the detachment and individual trooper level, thus providing a public forum for accountability. Using the data, district commanders are able to focus resources in a timely manner on areas where problems are occurring. They are also making decisions on what type of violations troopers should focus on. For example, District 7 identified an increase in driving under the influence violators and has focused trooper attention on recognizing and arresting violators in that district.

In addition to the district level SAF's, each district commander must publicly report on and be held accountable for their district's performance at the monthly Field Operations Bureau SAF in Olympia. This also allows the district commanders to share information and assist one another in problem solving and strategy modification.

All eight districts are collecting data related to budget, efficiency, and the four core violations, self-initiated public assists to the traveling public, collisions, criminal arrests, warrant apprehensions, and vehicle costs. Data is also broken down into sub-categories to enable them to better analyze the categories. For example, driving under the influence is broken down into alcohol related, drug related, and underage drinking. The use of data charts allows them to immediately see where trends are developing and take corrective measures.

An individual trooper's semi-annual performance evaluation is based on their contribution toward the organization's performance. It is evident that the individual performance evaluations and the use of the performance measures in the SAF process has achieved strategic alignment from top to bottom in the bureau. This provides a consistent focus around the four core areas as well as the need for continuous efficiency in service delivery.

Opportunities for Improvement

Most of the data being collected originates from the Time and Activity Reports (TARs) submitted by the individual officers. This places an enormous burden and importance on the accuracy of these forms. In addition to tracking hours of work, these forms also track the activity of the individual by assigned activity codes. These codes are unique to the Washington State Patrol and date back at least twenty years.

Over that time, codes have been added to clarify and further define activities, thus providing more useable data for the department. For example, at one point there was a code for "drug violation" and now there are multiple codes for each drug type. The codes are defined in the Time and Activity Report manual, which each trooper cadet studies while attending the academy and is available on the WSP intranet for reference. Once the trooper is placed in a district, the supervisor is responsible for monitoring the coding to ensure accuracy.

Coding issues have been identified across the agency, but because of the nature of their responsibilities, Field Operations was an area where inconsistency in how the codes are defined by individuals became apparent. For example, one trooper might code a violator contact as one type of violation while another may code them as a different type. Inconsistent coding on TARs for drug recognition by troopers and auto theft has also been identified by the agency.

While supervisors have the first line responsibility for checking TARs codes before signing the form, the reality is they are often severely pressed for time to turn them in and do not have personal knowledge of the specific circumstances of a trooper's contact with a violator. Data integrity is highly dependent on trooper knowledge and application of the correct codes.

As a result of these issues being identified, the agency is taking a three-pronged approach to addressing them. Their first action is to share information about errors down through the district commanders to create awareness as they are discovered. Their second approach is to use their Daily Bulletin to share the information about problems and create awareness in all personnel as they arise. The third approach will occur in April 2005 when the new statewide Department of Personnel Human Resource Management System goes live. As part of that change, the WSP will be redesigning the actual face sheet on the TAR to make it easier to understand, which may ultimately improve coding issues.

The TARs manual defines each specific code. However, there is some confusion evident about the completeness, consistency of application, and their interpretation. While TARs coding issues cause variation in data used by Headquarters, Labs, Districts and field officers, it is unknown how significant an issue it is. TARs data appears to be accurate enough to make decisions. It should be noted that there is no evidence to suggest that any erroneous operational decisions were made based on inaccurate TARs data.

Aviation

Strengths

This section has a solid system in place to validate its data. A majority of the data reported against measures is derived from flight sheets. This data is recorded in Excel spreadsheets and validated prior to using the data in performance reports.

A combination of output and outcome measures is used for managing their performance. Output measures include total flight hours, number of responses, ground unit arrival time, and calls for service. Outcome measures include the number of hours saved by having aerial support, response time saved by ground personnel because of aerial support, miles saved, and trooper hours saved.

The section has a partnership with the Washington State Transportation Center at the University of Washington, experts in traffic congestion management. This partnership has resulted in the development of a statistically valid formula that demonstrates time and cost savings resulting from the Aviation Metro program, a traffic congestion management program. This formula has been requested by and sent to other states. The Aviation Section has collected data to demonstrate return on investment for the Metro program. In 2004, data shows that for every $1 spent on the program, the public saved $18.28 in traffic congestion related costs.

It has been demonstrated that aerial support is of particular value in aggressive driving arrests. Because pilots are able to view driving situations over a distance, 8% of all drivers stopped by air support fall into this category compared with 4% of arrests by troopers on the ground.

They use National Aviation Business Association software, Travel Sense, to measure the productivity and cost savings of transporting state officials and others with WSP aircraft in lieu of other forms of transportation. This has allowed the section to demonstrate considerable savings to the state over time.

Biennial fee studies are conducted to determine rates for providing transportation services to state officials. This study compares WSP fees with private charters and includes a determination of the direct cost of providing these services. This study ensures the fees charged are adequate to cover direct costs to the section.

Opportunities for Improvement

No opportunities for improvement were identified.

PERFORMANCE MEASURES

Performance measures utilized in the Field Operations Bureau were evaluated against the criteria for performance measures provided in Appendix A

- **Attributable** – Measures used are clearly heavily influenced by the bureau leadership, particularly the four core areas. Strategy modification based on the data is ongoing. Accountability for performance results is evident from top to bottom in the bureau.
- **Well-defined** – The TARs Manual defines the specific codes being used. However, there is some confusion evident as to the consistency of their application.
- **Timely** – Data is being produced at least monthly, more often in some areas. This provides a timely opportunity to make resource redeployment and strategy modification decisions sooner.

- **Reliable** – While the TAR coding appears to be an issue, it is unknown how significant of an issue it may be. There is no evidence to suggest significantly erroneous operational decisions have been made as a result.
- **Comparable** – The bureau has a wealth of historical data going back for several years. Because of the nature of the data and its use outside the agency, there is an ability to compare performance against other organizations in some areas such as collision data.
- **Verifiable** – The consistency of the application of TARs codes raises the question about the level of verifiability. Even with clear definitions, without having specific historical information about any single situation, it would be difficult to determine the absolute correctness of the data being entered.

RECOMMENDATIONS

1. The department as a whole, but especially the Field Operations Bureau, needs to take a very proactive approach to the TARs coding issue. Because of the agency's dependence on this data, this issue needs to be given a high priority.
2. Data analysis appears to be done by headquarters staff while the data collection is the responsibility of the field. As a result, data analysis skills appear to be centered in Olympia. District managers also need to learn to use these skills to manage more effectively using performance measures.

B. FORENSIC LABORATORY SERVICES

This bureau provides a wide range of forensic science expertise to city, county and state law enforcement officers. The state Crime Laboratory serves all non-federal police agencies in the state and performs some federal forensic cases for DEA, FBI, ATF, and the Parks Service. Forensic scientists assist agencies at crime scenes, prepare evidence for trial, and provide expert testimony. They also coordinate the efforts of the State's Breath Alcohol Test Program, Drug Evaluation and Classification (DEC) Program, six Crime Laboratories, the Latent Print Laboratory, and the State Toxicology Laboratory.

Programs funded with Transportation money include all of the Implied Consent section (breath analysis, drug evaluation, impaired driving). The Implied Consent Program also has some federal funding.

OBSERVATIONS

Lab Managers use measures to monitor performance at both the strategic and operational levels. Most measures are at the operational level and allow managers to monitor use of resources, cycle times, and budget. The Forensic Labs hold monthly divisional SAF meetings. From those monthly detailed meetings, only key performance measures are presented at the monthly SAF meeting in Olympia.

Performance data is used for tracking the actual work being done, results, productivity of units, comparing the productivity of individual employees performing similar tasks; timeliness; accuracy, validity; hits on data in national and state databases; managing backlogs, etc. Based on data analysis, adjustments and changes are made in scheduling work, setting priorities, temporarily assigning or borrowing staff, productivity and other workload management, and efficiency measures within resource limitations.

Under Chief Ronal Serpas, Dr. Logan developed a table used by all the bureaus at the SAF presentations to display comparative data. A sample table of data for the Breath Test program is included in Appendix J.

Strengths

The Labs have a comprehensive, data rich environment. The scientists and managers running the Labs are comfortable using data to draw conclusions and make decisions. The Labs' data is tested often for validity and reliability using a variety of methods. The Labs have an excellent IT redundancy and disaster recovery plan in place. All data on every case is backed up on all five servers, one at each physical location.

The Crime Laboratories have been nationally accredited by the American Society of Crime Laboratory Directors since 1984. The Toxicology Lab is in the process of submitting its application for accreditation from the American Board of Forensic Toxicology—one of the bureau's Strategic Plan objectives and performance measures. Accreditation is based on use of controls, documentation, validation, and verification of procedures. The Toxicology Lab has been tracking data to support its application and to meet the standards for more than a year.

Opportunities for Improvement

The Toxicology Lab is not using LIMS data systems because it is not a good operational fit. The Toxicology Lab currently uses a different, stand alone data collection system. The Toxicology Lab recently received grant funding to start development of a new data collection system. The new system's design is intended to:

- Make it Web based

- Input data into data fields on menus
- Submit to Data Library by case number
- Use bar codes to track test tubes and all pieces of evidence, thereby eliminating mis-keying by scientists.

There will be many efficiency and effectiveness measures available once the new system is in place. However, it may be several years before it is fully operational.

The Breath Test and DEC Programs rely on data input from TARs, which is a softer data set. (See comments on TARs in the Field Operations section of this report.) TARs data accuracy is crucial to multiple data users in WSP; all the affected bureaus and divisions should work together to determine the extent of the coding issues and propose solutions.

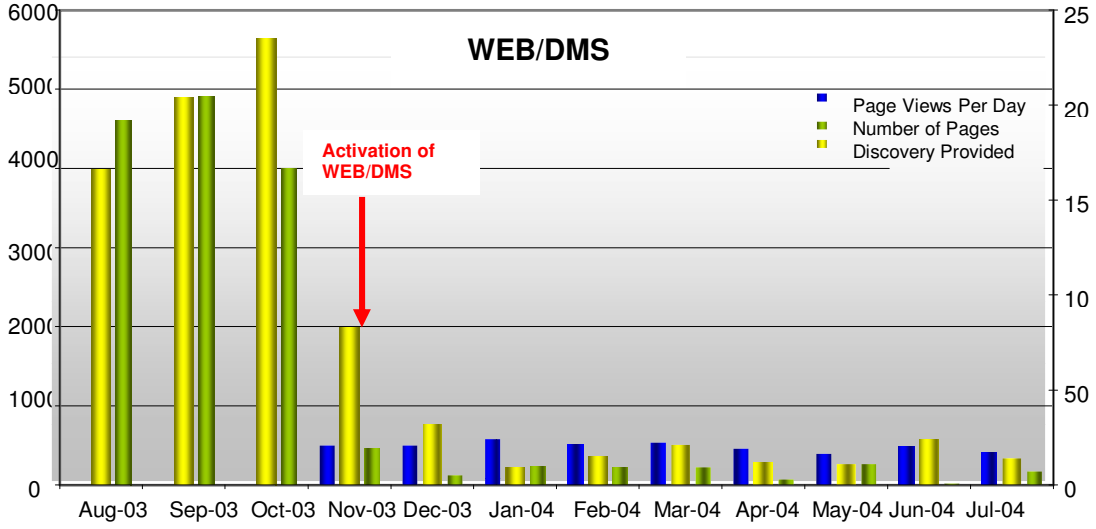
PERFORMANCE MEASURES

Lab managers regularly use performance data to make decisions. Some recent examples included:

- Purchasing new, smaller, and more technologically advanced Data Master technology and instruments because it was becoming harder to maintain old breath test instruments. There was an increasing loss of data from the older machines. Based upon routine testing, Lab managers used increasing trend data to demonstrate the losses, and to justify the urgency and need for the purchases.
- The selection of which machines to purchase was based on proficiency testing and review of data by the state Toxicology Lab. The plan for the future is to secure approval from the Legislature for a routine and on-going Data Master replacement program.

Beginning in November 2003, the Implied Consent Section activated WEB/DMS (WEB Data Management System) to decrease the administrative workloads in the Labs related to responding to requests for discovery for court cases, especially Breathalyzer results and DUI cases. WEB/DMS now provides all breath-test related discovery records to attorneys online. DOL hearing officers can also obtain records regarding instrument certifications, repair, thermometers, databases, etc. in real time.

The following chart demonstrated the immediate impact of the activation of this online-Internet based database had in significantly reducing the amount of staff time required to respond to discovery requests for court and DOL licensing hearings.



In addition, this change contributed to a reduction in DOL hearings dismissal rates. The target is to reduce dismissals at suspended license hearings to 20 percent by 2005. Five years ago dismissal rates approached 50 percent; currently they are below the program's target measure of 20 percent.

Nevertheless, WSP continues to work on a variety of factors, including but not limited to, improved communications and training between DOL hearing officers and WSP technicians; WSP trainers and law enforcement officers in the field identifying and addressing causes to further reduce suspended license hearing dismissal rates, etc.

Performance measures utilized in the Forensic Labs were evaluated against the criteria for performance measures provided in Appendix A

- **Attributable** – Because of rules of evidence, and the scientific approach and focus of the Forensic Laboratory Services Bureau, data that is the result of scientific testing must be independent, objective, and the test results above reproach.
- **Well-defined** –Scientific methods and practice are well defined. Scientific data and related rules are clear, unambiguous, and well defined so data will be collected consistently.
- **Timely** – Lab data is produced constantly. Scientific data and equipment is tested, verified, and certified often. Workload and management data is analyzed on an on-going basis, and formally assessed monthly. Resource decisions are timely for staff redeployment and changing strategies.
- **Reliable/ Verifiable data** –To ensure data quality the Labs perform 100% peer reviews of all forensic work. There are two analysts for every case, and in some cases a third person, normally the supervisor, replicates the tests.
- **Comparable** – The Forensic Services Bureau has a wealth of historical performance and scientific data. Because of the nature of the data, and its use outside the agency--especially in courtroom settings, there is an ability to compare and measure successful performance. National organizations and accreditation provide comparisons with other similar organizations and programs nationwide.

RECOMMENDATIONS

1. The Labs with programs currently maintaining and analyzing data manually, increase their use of technology to capture and analyze data. Manual data collection is cost intensive over time, while technology investments add value over time. Development of an automated data system for the Toxicology Lab should be a priority.

B. INVESTIGATIVE SERVICES

The Investigative Services Bureau provides various traffic law enforcement and criminal investigative services. This bureau is organized into five divisions: Criminal Investigation Division (CID), Investigative Assistance Division (IAD), Commercial Vehicle Division (CVD), Office of Professional Standards (OPS), and the Evidence and Records Division (ERD). Of these five divisions, all except the Investigative Assistance Division receive transportation funds. Therefore for purposes of the report, the study of the Investigative Services Bureau is limited to CVD and CID, as OPS and ERD are very small divisions performing support functions involving employee discipline and public disclosure.

The Commercial Vehicle Division provides a number of educational and enforcement programs to ensure compliance with commercial motor vehicle regulations. Programs administered by this division include School Bus Inspections, Commercial Vehicle Enforcement, Motor Carrier Safety Assistance Program, Equipment and Standards, Compliance Review, and the Commercial Vehicle Safety Alliance.

The Criminal Investigation Division conducts investigations into vehicular homicide, vehicular assault, felony hit and run collisions, fuel tax fraud, auto theft, and conducts salvage and rebuilt vehicle identification number inspections.

OBSERVATIONS

Both the Commercial Vehicle Division and Criminal Investigation Division have developed strategic plans in alignment with the agency's strategic plan. In addition, the Commercial Vehicle Division has also developed a Commercial Vehicle Safety Plan, which was used to obtain more than $2.7 million in federal grant funding assistance to implement a Motor Carrier Safety Assistance Program.

Both divisions conduct Strategic Advancement Forums within their divisions on a regular basis in addition to the agency level forums for the bureau. The Criminal Investigation Division conducts their forums three times per year; the Commercial Vehicle Division conducts theirs monthly. These forums are attended by officers down to the sergeant level, who report their data against the various performance measures and make decisions about resource deployment and strategy.

Commercial Vehicle Division

Strengths

The Commercial Vehicle Division (CVD) is somewhat unique within WSP, as a majority of their data is collected through federal database systems, not WSP systems. CVD collision and inspections data are collected from the TARs and rolled up into the federal database systems. Most of their information comes from the TAR and truck inspection forms. The ASPEN and SAFETYNET programs capture the data for them. CVD's goal is to have 100% of their data uploaded to technological systems as it is easier and more efficient. They have the technology and are currently implementing more data collection efforts in that direction.

Through careful analysis of their data, they discovered that 76% of commercial vehicle accidents are caused by drivers around them, not the commercial trucks. As a result, they increased efforts to target aggressive drivers around trucks.

The federal government provides $5 million to conduct inspections. The data provides justification for continued receipt of the money, and has been used to show a correlation between the number of fatal collisions involving trucks with the number of inspections being

conducted. The data has also been used to show the impact on the number of collisions in District 2 as a result of officers being moved to ferry security and to justify a $500,000 grant from the National Highway and Transportation Agency for the aggressive driving program.

Opportunities for Improvement

The division currently lacks a mapping system for collision data. This severely hampers their ability to identify areas of greatest concern. They are working with the State of Arizona, which has a mapping system in place to determine its feasibility for Washington.

Most of the data collected is entered into federal data systems, which appears to meet the division's needs. However, staff is spending time manually collecting other data for reporting purposes. The division has the technology to further automate much of this collection and is implementing as quickly as possible.

Criminal Investigation Division

Strengths

The Criminal Investigation Division is actively using data to track progress in several key areas. One area of particular focus is statewide auto theft. The division tracks the number of cars stolen, recovered, and arrests.

There is a positive trend evident in the data.

2002 - 294 cars were recovered,
2003 - 430 were recovered,
2004 – (year to date) 469 have been recovered.

2002 - 32 car thieves were arrested,
2003 - 132 were arrested,
2004 – (Year to date) 186 have been arrested.

Of particular importance to these numbers is the fact that in 2003 the division lost three auto theft detectives due to budget cuts. In addition, their average case cycle time has decreased from 37 days to 2 days.

In November 2002, there was a focus on auto theft and the state's low ranking on the national level. FBI statistics show them as the third worst state for auto theft, fourth in the nation when the District of Columbia was included. One theory for this is that Washington, like Arizona and Florida, is a port state, where stolen vehicles are easily moved out of the country. At the time, there were seventeen auto theft detectives scattered across the state. Using data as the basis for decision-making, the detectives were reorganized into regionalized auto theft units in an effort to increase the return on detective investment. As a result, performance has increased despite the budget reduction.

Opportunities for Improvement

Division target setting is not currently data driven, and as a result, the division consistently exceeds their targets. The division is aware of this issue and is working to better utilize data to set more realistic and challenging targets for the future.

Data collection and analysis is highly dependent on manual processes. For example, auto recovery data is derived from a recovery report form that the recovering officer fills out, and is entered in the WACIC (Washington Crime Information Center) system. Every month, each sergeant hand tallies these numbers from their detectives and sends it to the lieutenant, who validates the numbers with the VIN sergeant, who receives all of the recovery forms.

There is no central statewide system for auto theft data from all law enforcement agencies. As a result, WSP has used FBI data in the past to determine statewide, all agency auto theft and recovery statistics. However, by the time they receive the data it is extremely out of date and not useful for making strategic deployment decisions.

The division is highly dependent on outside donations for their technology needs to meet their mission and to operate in a way that utilizes current data for decision-making. For example, this division uses "bait" cars to attract auto thieves. These cars are donated by the insurance industry. However, technology in the cars is antiquated, and there is no funding within WSP to maintain the vehicles or update the technology.

The division's continued budget challenges have prevented them from obtaining the technology tools they need to analyze crimes, such as where they are occurring, in order to improve their performance. For example, the blackberry technology being used to identify stolen vehicles in the field by detectives is not funded and will be discontinued on December 1, 2004, even though the division has data showing their positive impact on vehicle recoveries.

PERFORMANCE MEASURES

Both divisions use a large number and variety of measures to monitor their performance at the strategic and operational levels. Most of the measures are targeted at the operational level and allow managers to monitor use of resources, cycle times, and budget. Other measures provide data to monitor crime levels such as auto theft and vehicle recovery by county, time to clear a road after an accident and number and location of statewide fatality and felony collisions. They also track the survival rate of belted vs. non-belted passengers and deceased victims of CID investigated fatal collisions. Both divisions collect and analyze the data on a regular basis and make strategy and resource decisions based on them consistently.

Performance measures utilized in the Investigative Services Bureau were evaluated against the criteria for performance measures provided in Appendix A

- **Attributable** – All of the measures being used are directly related to actions of the bureau. Accountability for results ultimately resides at the top of the organization. However, individuals within each division and their detachments are also held accountable for local actions.
- **Well-defined** – The nature of the measures used by both divisions is clearly defined. Because of the federal reporting requirements of both divisions' data, there is clear understanding of what data is to be collected and there appears to be consistent collection across both divisions.
- **Timely** – Data is being collected regularly and at time intervals that meet each division's unique needs based on their mission. For example, CVD examines their data on a monthly basis rather than weekly and CID examines theirs three times per year because that allows them to see patterns more clearly. One past challenge for CID was the FBI auto theft data was too dated to be useful. As a result, they are now collecting that data manually.
- **Reliable** – Operational decisions are made based on the measures. Some validation of data is occurring within the bureau. For example, vehicle recovery numbers from the field are being validated with the vehicle recovery sergeant prior to reporting.
- **Comparable** – Both divisions have been collecting data against their measures for several years. Because of the national reporting requirements, they are able to examine their performance against other similar organizations across the country.
- **Verifiable** – Because most of the data is collected manually before entry into a technology system, there is room for human error. For example, collision data is based on the information provided on a report from the officer in the field. It is unclear how well understood data definitions are across the agency, and this is an area where additional attention might be well justified.

RECOMMENDATIONS

1. Both divisions should continue to increase their use of technology to capture and analyze data as technology investments add value over time. If auto theft is a continued area of focus, the agency and legislature should consider further technological enhancements in the Criminal Investigation Division.

2. The Criminal Investigation Division should continue their efforts to analyze their data for more realistic target setting. This will increase their ability to set challenging goals, thus adding more value to their strategy development and fine-tuning over time.

C. MANAGEMENT SERVICES

The Management Services Bureau manages the agency's financial activities, human resource services, and facilities/property management. They produce many of the agency reports, and oversee agency-wide studies, research, law enforcement certifications, quality, and regulatory activities. This Bureau was not included in the original request for proposal. The consultants determined that in order to fully answer the proposal questions, information from this bureau was required.

OBSERVATIONS

Strengths

As the support services providers for the agency, the Management Services Bureau prides itself on being accountable for the achievement of the agency wide measures. This bureau is responsible for the "people" issues of the agency, whether it is special studies like racial profiling, risk management and accident prevention, strategic planning, or setting direction for employee morale.

The bureau's "Budget Implementation Reports" are excellent examples of how the agency tracks and responds to formal Legislative direction. The reports serve as tools that ensure WSP managers respond to their legislative mandates. In the consultants' experience working with a variety of state agencies, this report and method appear to be unique to WSP.

The budget section prepares and compiles "The Budget Implementation Report" as soon as the Governor signs the final budget bills. The Report summarizes and lists every budget item that has changed: funding increases, funding decreases, directed FTE changes or movements, budget provisos, and fiscal notes. The report incorporates the funding source(s), the responsible owners of the changes implemented, and a semi annual status/progress description. The Report is sent to the Executive Team for discussion and action and is used for all final resource allocations or reallocations.

PERFORMANCE MEASURES

The priority performance measures for the Management Services Bureau are in the areas of:

- Human Resources--hiring and recruiting performance
- Budget and Fiscal--accountability moved down through the organization to the field staff level
- Property Management (fleet section)—examples of transportation funded performance measures are fuel costs, fuel consumption, vehicle mileage, maintenance costs, and vehicle replacements. See Appendix J for examples of data reported by Fleet Management Section.

Performance measures utilized in the Management Services Bureau were evaluated against the criteria for performance measures provided in Appendix A.

- **Attributable**

  WSP's Management Services Bureau tracks a suite of measures (activities, outputs, and outcomes) which relate directly to their actions. Their actions, and often the actions of WSP employees in the other five bureaus, directly impact the results. Often they procure the inputs that produce the agency's activity measures and outputs.

- **Well-defined**

  The data collected and reported in this division has clear definitions—costs, number of recruits, number of transactions in the warehouse, etc. Data is collected consistently.

- **Timely**

  Some of the charts and tables at SAF change over time as more data is received and entered into databases. The data displayed changes and is updated over time. Data is received from sources both inside and outside the agency. This is especially true of data from WSDOT, which often comes in on a delayed basis.

  Management Services divisions relay data to the other bureaus whenever it becomes available. Fiscal closes their books for each month after the end of the month. Bureaus presenting slides at SAF before the fiscal month closes are always one month behind on budget data. Those presenting at SAF's scheduled after fiscal month or fiscal year close have current month data.

- **Reliable**

  Data is consistently and constantly updated, monitored, and used within WSP. Because of familiarity errors are more apparent. The data used in Management Services is hard and clear-cut. It appears to be reliable.

  Managers are experienced users of data. We observed members of the Executive Team who could identify errors or inconsistencies on charts and tables during Friday meetings that they were seeing for the first time.

  DOP's HRMS/TAS II system is scheduled for implementation during 2005, and will definitely affect the accuracy and reliability of the resulting data.

- **Comparable**

  There is a wealth of historical performance data available within Management Services. In addition they often research the performance of other Washington State agencies of similar size for comparison. The Strategic Planning section communicates with state police agencies in other states to compare processes and performance management data. National accreditation and data is available for many WSP functions and activities.

- **Verifiable**

  Management Services systems and the resulting information is used throughout the agency. Other bureaus have their own methods for collecting the same data manually for their own use. Significant errors and/or discrepancies would be noted immediately by those users and brought to the attention of the appropriate Management Services section or division administrator.

RECOMMENDATIONS

1. The highly effective SAF process involves a significant time commitment. It should continue to be reviewed regularly to identify and implement improvements that increase its effectiveness and efficiency.
2. Management Services should continue to evaluate the effectiveness of the data and reporting support provided to the rest of the agency. As the agency has grown more and more dependent upon data analysis for decision-making, the request for support will also continue to grow.

D. TECHNICAL SERVICES BUREAU

The Technical Services Bureau is made up of professional staff skilled in highly complex fields of expertise. This forms the backbone of support services and technical systems for the Washington State Patrol troopers and all other criminal justice officials in Washington State.

Divisions reporting to the bureau include the Communications Division, Criminal Records Division, Electronic Services Division, Information Technology Division, and Training Division.

OBSERVATIONS

Strengths

Technical Services prepared its strategic plan based on the directions in the WSP Strategic Plan. The Bureau then cascaded the WSP Strategic Plan through each Division in the Bureau which are then required to complete their operational plan and identify the associated performance measurements. The staff in each Division participated, ensuring their first hand knowledge of the requirements in their operational plan. The Bureau requires quarterly reporting on agency-wide strategic objectives.

Divisions regularly use performance data in daily operating decisions. For example: adjusting staffing to manage overtime costs, restructuring Help Desks to provide faster and better responses, and reorganizing technicians to ensure equipment is maintained properly and to reduce costs.

Projects are a significant part of Technical Services performance measures and deliverables. They utilize two project management processes: 1) SARA (Scanning, Analysis, Response, and Assessment) which is primarily used for operational projects; and 2) IT Project Management Methodology. This methodology is used for all IT projects. As a part of the methodology, IT prepares color coded weekly status reports for project deliverables and milestones. See Appendix J for an example.

Technical Services strives to keep the performance measures current by regularly reviewing them to update or eliminate specific measures. Changes are reviewed and approved at SAF meetings.

The Bureau has a number of "listening posts" to gather customer input data. For example:

- The primary customer feedback approach is the SAF process. When questions are asked at SAF, they are recorded and immediately following the SAF, are distributed to the appropriate Division Commander for action and follow-up. Responses are then followed up and delivered at the next monthly SAF.
- Department 1-800 line or confidential email system. The messages are tracked by the Chief's office and the Bureaus are expected to respond immediately.
- Correspondence, letters, phone calls, etc. from outside agencies or citizens to the Chief's office are tracked.
- Supervisors, Section Managers, and Division Managers are encouraged to contact the Technical Services managers directly to resolve any issues.

Technical Services divisions coordinate services and share knowledge with agencies external to WSP. For example:

- The Communications Division provides dispatch services for the Washington Department of Fish and Wildlife, and invites F & W managers to communications meetings to address their issues or concerns.

- IT regularly meets with other agencies' IT managers (WSDOT, DOL) to discuss interagency data sharing, data relationships, and joint needs.

Electronic Services and Information Technology coordinate their annual operating plans to ensure interfaces and co-support functions are in place. Monthly, the Division Managers and the Technical Services Deputy Chief meet to review performance progress, issues, and projections.

IT leadership regularly meets with WSP and non-WSP managers:

- With WSP Bureaus, they discuss the bureau's IT issues and needs. It is from these discussions that Decision Packages and work requests are developed.
- With non-WSP managers, they discuss cross agency data sharing, data relationships, joint needs. An example is the project to develop a joint disaster recovery location in Union Gap for WSDOT, DOL, and WSP.

The direction and management for Information Technology projects and enhancements start with Decision Packages from the IT Division and their customers. The WSP Executive Team meets at lest semi-annually to determine priorities for all WSP projects including the Information Technology projects. The result of this process is a prioritized list of all projects set by the WSP Executive Team and identification of key IT performance measures. Projects are monitored weekly at the Bureau level and monthly in the SAF process.

Opportunities for Improvement

Service Level Agreements (SLA's) are a key part in communicating clarity and accountabilities for support organizations and their customers. Some SLA's are in place and others are planned. SLA's should be developed by all divisions for their key customers.

Listening posts provide an excellent approach to acquiring information that can be helpful in improving operational processes. Some enhancements could amplify this data:

- Ensuring that data is collected from each of the listening posts. This will provide the opportunity to determine, over time, where the feedback is focused.
- Customer surveys have been used and some are in the planning stage. Regular customer surveys will provide another avenue for identifying opportunities for improvement. Where voluntary feedback often focuses on negative experiences, well-designed customer surveys can provide a more balanced picture.

PERFORMANCE MEASURES

In the Bureau plans there are a significant number of activity measures. That is consistent with operating plans. Activity measures are crucial to making day-to-day operating decisions. Output measures for the most part were found in project plans. That is not unusual in a support organization where they are striving to meet customers' changing needs.

There was no evidence of outcome measures. Again, this is not unusual because most support organizations provide tools and other support to the "line" organizations. "Line" organizations are, for the most part, where the direct customer interactions occur. The number one goal, "Make Washington roadways safe for the efficient transit of people and goods" exemplifies this. Technical Services may not directly impact this goal but they do provide tools and services that assist other WSP Bureaus in doing so.

The Activity and Output measures generally met all the defined criteria.

- **Attributable**: All performance measures are assigned clear organizational accountability.

- **Well-defined**: All performance measures are defined and calculations are simple and understandable.
- **Timely**: Data and information are available for regular monthly Bureau SAF meetings. Weekly project status meetings use data from the project management system.
- **Reliable**: Data is tracked, validated and used for operational decisions for their processes.
- **Comparable**: Data has been collected for a number of reporting periods and provides comparability against historical data.
- **Verifiable**: Performance measures are focused on internal processes. Those processes can be and are changed, based on the data and analysis.

RECOMMENDATIONS

1. Activity measures are valuable for day-to-day operational decisions but developing more Output and even Outcome measures would provide valuable tools for the overall WSP measurement process
2. IT should allocate time for working with the WSP employees in other bureaus who support the manually calculated performance measures. Often a little advice and help from an IT professional will enhance local tools/procedures to make those employees more efficient.
3. Service Level Agreements (SLA's) are a key part in communicating clarity and accountability for support organizations and their customers. Some SLA's are in place and others are planned. SLA's should be developed for all IT's key customers
4. Listening posts provide an excellent approach to acquiring information that can be helpful in improving operational processes. WSP managers need to ensure that data is collected and analyzed from each of the listening posts. Conducting regular customer surveys will provide another avenue for identifying opportunities for improvement.

APPENDICES

Appendix A – *Performance Measurement Definition*

Appendix B – *Definition of Performance Audits*

Appendix C – *Listing of Interviewees and Interview Questions*

Appendix D – *WSP Performance Agreement*

Appendix E – *WSP Scorecard*

Appendix F – *WSP Strategic Plan Performance Measures and Data Sources*

Appendix G – *Matrix of WSP Performance Measures*

Appendix H – *Benchmarking Findings*

Appendix I *– WSP Budget Process*

Appendix J *– Samples of Performance Data*

Appendix K – *Reference Documents and Materials*